

2nd Receipt

Patent
260/061

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Edgar A. MENDOZA, et al.

Serial No.: 09/574,840

Filed: May 19, 2000

For: THERMALLY-ASSISTED PHOTO-
LITHOGRAPHIC PROCESS USING
SOL-GEL DERIVED GLASS AND
PRODUCTS MADE THEREBY

) **Confirmation No.:** 1340

) **Group Art Unit:** 2784

) **Examiner:** Sanghavi, Hemang

LETTER TO CORRECT FILING RECEIPT

Mail Stop: Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed is a copy of the Corrected Filing Receipt mailed August 5, 2003, for the above-identified application with the following changes noted thereon in red ink:

Please add "Robert A. Lieberman, Torrance, CA," under the Applicant(s) section of the document.

The present application is a CPA. As noted on the third page of the Declaration and Power of Attorney for Patent Application and on the second page of the Assignment, both of which were

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to: Mail Stop: Missing Parts, Commission for Patents, P.O. Box 1450, Alexandria, VA, 22313-1450.

February 15, 2005
Date of Deposit


Carolyn L. Evans

submitted with the original Patent Application on May 19, 2000, Robert A. Lieberman is listed as the third Inventor. A copy of the Declaration and Power of Attorney for Patent Application as well as the Assignment are attached hereto for your reference.

Although Applicants do not believe any fee is due with this paper, if Applicants are mistaken, kindly charge any fee due with this paper to counsel's Deposit Account No. 50-2468.

Respectfully submitted,

JONES DAY

Dated: February 15, 2005

By: 

David A. Randall
Reg. No. 37,217

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| APPL NO. | FILING OR 371 (c) DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|-----------------|---------------|-----------------|----------|----------|----------|
| 09/574,840 | 05/19/2000 | 2874 | 609 | 260/061 | 8 | 32 | 7 |

CONFIRMATION NO. 1340

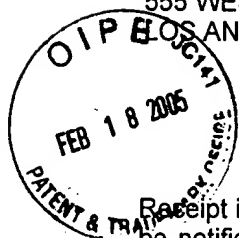
CORRECTED FILING RECEIPT



OC000000010640434

Date Mailed: 08/05/2003

34026
 JONES DAY
 555 WEST FIFTH STREET, SUITE 4600
 LOS ANGELES, CA 90013-1025



Receipt is acknowledged of a CPA in this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Edgar A. Mendoza, Redondo Beach, CA;
 Lothar U. Kempen, Redondo Beach, CA;

Robert A. Lieberman, Torrance, CA

RECEIVED

AUG 13 2003

Domestic Priority data as claimed by applicant

JONES DAY REEVES & CO. LLP
 PATENT ATTORNEYS

Foreign Applications

If Required, Foreign Filing License Granted: 07/18/2000

CPA filed on: 06/04/2003

Projected Publication Date: 11/13/2003

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Thermally-assisted photo-lithographic process using sol-gel derived glass and products made thereby

Preliminary Class

385

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

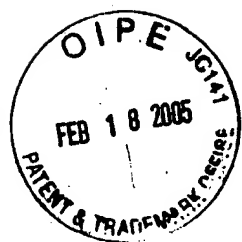
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

ENGLISH LANGUAGE DECLARATION

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Thermally-Assisted Photolithographic Process Using
Sol-Gel Derived Glass And Products Made Thereby**

The specification of which

☒ is attached hereto

☐ was filed on _____ as
application serial no. _____

and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Sec. L.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Sec. 119 of any foreign application(s) for patent of inventors certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior foreign application(s)

Priority claimed

| | | | | |
|-------------------|--------------------|----------------------------------|---------------------------------|--------------------------------|
| _____ (number) | _____ (country) | _____ (date/month/year/filed) | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| _____ (number) | _____ (country) | _____ (date/month/year/filed) | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| _____ (number) | _____ (country) | _____ (date/month/year/filed) | <input type="checkbox"/> yes | <input type="checkbox"/> no |

I hereby claim the benefit under Title 35, United States Code, Sec. 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner

provided by the first paragraph of Title 35, United States Code, Sec. 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Sec. 1.56(a) which occurred between the filing date of the prior application and the national or PCT filing date of this application:

| | | |
|-----------------------------------|------------------------|--|
| _____ (Application Serial No.) | _____ (Filing Date) | _____ status (patented pending, abandoned) |
|-----------------------------------|------------------------|--|

| | | |
|-----------------------------------|------------------------|--|
| _____ (Application Serial No.) | _____ (Filing Date) | _____ status (patented pending, abandoned) |
|-----------------------------------|------------------------|--|


I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Sec. 1001 of Title 18, United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)
HERBERT M. SHAPIRO; Reg. No. 20578

Send Correspondence to: Herbert M. Shapiro
29091 Pompano Way
Laguna Niguel, CA 92677

Direct Telephone Calls to: Herbert M. Shapiro
Tel: (949) 495-2249 - FAX (949) 495-2020

Full name of sole or first Inventor: **Edgar A. Mendoza**

Inventor's Signature:  Date: **5/18/00**

Residence **2803 Faber Street, Redondo Beach, CA 90278**

Citizenship **Columbia**

Post Office Address **Same**

Full name of second Inventor **Lothar U. Kempen**

Inventor's Signature  Date **5/18/00**

Residence **224 1/2 N. Juanita Avenue, Redondo Beach, CA 90277**

Citizenship **The Netherlands**

Post Office Address **Same**

Full name of third Inventor Robert A. Lieberman

Inventor's Signature

Robert A. Lieberman

Date

5/18/000

Residence

1309 Florwood Avenue, Torrance, CA 90503-5919

Citizenship

USA

Post Office Address

Same



RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

06-01-2000



101371732

attached original documents or copy thereof.

1. Name of conveying party(ies):

Edgar A. Mendoza
Lothar U. Kempen
Robert A. LiebermanAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 5/18/00

Name: Intelligent Optical Systems, Inc

Internal Address: _____

Street Address: 2520 W. 237th Street

City: Torrance State: CA ZIP: 90505-5217

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

09/574,840

If this document is being filed together with a new application, the execution date of the application is: 5/18/00

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Herbert M. Shapiro

Internal Address: _____

Street Address: 29091 Pompano Way

City: Laguna Niguel State: CA ZIP: 92677

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):..... \$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Herbert M. Shapiro
Name of Person Signing

Signature

Date

Total number of pages comprising cover sheet:

1

ASSIGNMENT

Assignors: E. A. Mendoza et al

Assignee: Intelligent Optical Systems, Inc., 2520 237th St,
Torrance, CA 90505-5217

Title of Invention: Thermally-Assisted Photo-lithographic Process
Using Sol-Gel Derived Glass And Products Made
Thereby

Serial No:

Filed: Concurrently

Recitals:

Assignor is the sole inventor (if only one inventor is listed above) or a joint inventor (if more than one inventor is listed above) of the above invention (the "invention") described in the United States patent application (the "application") having as a title the above name for the invention. The application has an attorney docket number and a Patent and Trademark Office filing date and serial number as indicated above, or if no filing date and serial number are shown, has a Declaration executed contemporaneously with this Assignment.

ASSIGNMENT

For valuable consideration, receipt of which is acknowledged, each Assignor hereby assigns to Assignee (which term shall include Assignee's successors and assigns), all of assignor's right, title and interest in the invention, all improvements therein, and any patents, and any reissues and extensions thereof, which issue in any country upon patent applications which correspond with any of the following: the application, any divisional, continuation-in-part, or substitute United States application which is based on the Application; or any continuation-in-part United States application (including divisions, continuations-in-whole or -in-part, and substitutions thereof or therefor) based in part on any of the above-described applications.

Each Assignor further agrees that he and his heirs and legal representatives will, without charge to Assignee during the term of such Assignor's employment by Assignee,

and, thereafter for a per diem compensation as mutually agreed upon by Assignee and Assignor, cooperate with Assignee in the prosecution of all of the above applications, execute, verify, acknowledge and deliver all such further papers, including applications for patents and for reissues and extensions therefor, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request subject to assignor's availability, including attending depositions and appearing as a witness, to obtain, or maintain or enforce patents for the invention and improvements therein in any and all countries, and to vest title thereto in Assignee.

IN WITNESS WHEREOF, Assignor hereby executes this instrument on the date set forth below.

Date:

5/18/00

Edgar A. Mendoza

Date:

5/18/00

Lothar U. Kempen

Date:

5/18/00

Robert A. Lieberman

State of CALIFORNIA
County of LOS ANGELES

On this 18th day of MAY, 2000, before me, personally appeared

EDGAR A. MENDOZA, LOTHAR U. KEMPEN and ROBERT A. LIEBERMAN

known by me to be the persons whose names are subscribed to the within instrument and acknowledged to me that they executed the same in their authorized capacities and that by their signatures on the instrument the persons or the entities upon behalf of which the persons acted executed the instrument.

Witness my hand and official seal

Signature

Claudia M. Spooner

